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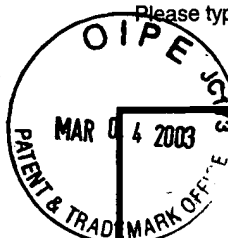
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PTO/SB/21 (08-00)

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# TRANSMITTAL FORM

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|---|-----------------------------|-------------------------------|---------|
| <b>TRANSMITTAL<br/>FORM</b><br>(to be used for all correspondence after initial filing) | <b>Applicati n Number</b>   | 09/934,826                    |         |
|   | <b>Filing Date</b>          | August 22, 2001               |         |
|   | <b>First Named Inventor</b> | Grey, William                 |         |
|   | <b>Group Art Unit</b>       | 2164                          |         |
|   | <b>Examiner Name</b>        | Not yet assigned              |         |
| <b>Total Number of Pages in This Submission</b>   |                             | <b>Attorney Docket Number</b> | 101.050 |

## ENCLOSURES (check all that apply)

|  |   |   |
|--|---|---|
| <input type="checkbox"/> Fee Transmittal Form<br><input type="checkbox"/> Fee Attached<br><input type="checkbox"/> Amendment / Reply<br><input type="checkbox"/> Preliminary<br><input type="checkbox"/> Affidavits/declaration(s)<br><input type="checkbox"/> Extension of Time Request<br><input type="checkbox"/> Express Abandonment Request<br><input checked="" type="checkbox"/> Supplemental Information Disclosure Statement<br><input type="checkbox"/> Certified Copy of Priority Document(s)<br><input type="checkbox"/> Response to Missing Parts/ Incomplete Application<br><input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53 | <input type="checkbox"/> Assignment Papers (for an Application)<br><input type="checkbox"/> Drawing(s) (Replacement)<br><input type="checkbox"/> Licensing-related Papers<br><input type="checkbox"/> Petition<br><input type="checkbox"/> Petition to Convert to a Provisional Application<br><input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address<br><input type="checkbox"/> Terminal Disclaimer<br><input type="checkbox"/> Request for Refund<br><input type="checkbox"/> CD, Number of CD(s) | <input type="checkbox"/> After Allowance Communication to Group<br><input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences<br><input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)<br><input type="checkbox"/> Proprietary Information<br><input type="checkbox"/> Status Letter<br><input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): Form PTO-1449, 14 cited references and Acknowledgment Postcard. |
| <b>RECEIVED</b><br><b>MAR 07 2003</b><br><b>GROUP 3600</b>   |   |   |
| <b>Remarks</b>   |   |   |

## SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

|                                |                     |
|--------------------------------|---------------------|
| <b>Firm or Individual name</b> | Kurt M. Maschoff    |
| <b>Signature</b>               | <i>K M Maschoff</i> |
| <b>Date</b>                    | February 26, 2003   |

## CERTIFICATE OF MAILING

|  |                   |             |                   |
|--|-------------------|-------------|-------------------|
| I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, D.C. 20231 on this date: February 26, 2003 |                   |             |                   |
| <b>Type or printed name</b>  | Jill Halme        | <b>Date</b> | February 26, 2003 |
| <b>Signature</b>   | <i>Jill Halme</i> |             |                   |

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: GREY et al.

Serial No.: 09/934,826

Filing Date: August 22, 2001

For: SYSTEM AND METHOD FOR  
PERSONALIZED DYNAMIC PRICING

)  
)  
) Examiner: not yet assigned

)  
) Group Art Unit: 2164

)  
) Attorney Docket No.: I01.050

Commissioner for Patents  
Washington, D.C. 20231

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SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Sir:

Applicants submit herewith patents, publications or other information of which they are aware that they believe may be material to the examination of this application, and in respect of which, there may be a duty to disclose.

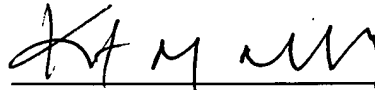
The filing of this information disclosure statement shall not be construed as a representation that a thorough search has been made, an admission that the information cited is, or is considered to be, material to patentability, or that no other material information exists. Nor shall the filing of this information disclosure statement be construed as an admission against interest in any manner.

This Information Disclosure Statement is filed in accordance with 37 CFR §§1.56, 1.97 and 1.98. The items listed on the accompanying Form PTO-1449 may be deemed to be pertinent to the above-identified application and are made of record to assist the Patent and Trademark Office in its examination of this application. The Examiner is respectfully requested to fully consider the items listed on the enclosed copy of Form PTO-1449 and to independently ascertain their teaching.

No fee is believed to be due under 37 CFR §1.17(p) for this Information Disclosure Statement since it is being filed concurrently with the above-identified application.

Respectfully submitted,

February 26, 2003  
Date

A handwritten signature in black ink, appearing to read "K M Maschoff", written over a horizontal line.

Kurt M. Maschoff  
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# INFORMATION DISCLOSURE STATEMENT BY APPLICANT

*(use as many sheets as necessary)*

Sheet

1

of

2

|                               |                  |
|-------------------------------|------------------|
| <b>Applicati n Numb r</b>     | 09/934,826       |
| <b>Filing Dat</b>             | August 22, 2001  |
| <b>First Named Inventor</b>   | GREY             |
| <b>Group Art Unit</b>         | 2164             |
| <b>Examiner Name</b>          | Not yet assigned |
| <b>Attorney Docket Number</b> | I01.050          |

[illegible][illegible]

**Examiner  
Signature**

Date  
Considered

<sup>1</sup>Unique citation designation number. <sup>2</sup>See attached Kinds of U.S. Patent Documents. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.



Substitute for form 1449A/PTO

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

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Sheet

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**Complete if Known**

|                        |                  |
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| Applicati n Numb r     | 09/934,826       |
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| First Named Inventor   | GREY             |
| Group Art Unit         | 2164             |
| Examiner Name          | Not yet assigned |
| Attorney Docket Number | I01.050          |

**OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS**

| Examiner<br>Initials* | Cite<br>No. <sup>1</sup> | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the<br>item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s),<br>publisher, city and/or country where published. | T <sup>2</sup> |
|-----------------------|--------------------------|---|----------------|
|                       | G                        | Segev, Arie et al., "Brokering Strategies in Electronic Commerce Markets", E-Commerce (1999). Pages 167-171.  |                |
|                       | H                        | Parkes, David C., "iBundle: An Efficient Ascending Price Bundle Auction", E-Commerce (1999). 10pgs.   |                |
|                       | I                        | Nisan, Noam, "Bidding and Allocating in Combinatorial Auctions", EC'00 (October 17-20, 2000). 12pgs.  |                |
|                       | J                        | Gonen, Rica et al., "Optimal Solutions for Multi-Unit Combinatorial Auctions: Branch and Bound Heuristics", EC'00 (October 17-20, 2000). Pages 13-20.   |                |
|                       | K                        | Sitze, Richard, "Bidirectional auction using a bid-window: auction and reverse-auction hybrid", Research Disclosure (November, 2001). 2pgs.   |                |
|                       | L                        | Cilia, M. et al., "An Active Functionality Service for E-Business Applications", SIGMOD Record, Vol. 31, No. 1, (March, 2002). Pages 24-30.   |                |
|                       | M                        | Schillo, Michael et al., "The Eager Bidder Problem: A Fundamental Problem of DAI and Selected Solutions", AAMAS'02 (July 15-19, 2002). Pages 599-606.   |                |
|                       | N                        | Bichler, M. et al., "Aplpications of flexible pricing in business-to-business electronic commerce", IBM Systems Journal, Vol. 41, No. 2, (2002). Pages 287-339.   |                |
|                       |                          |   |                |

|                       |  |                    |  |
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| Examiner<br>Signature |  | Date<br>Considered |  |
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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